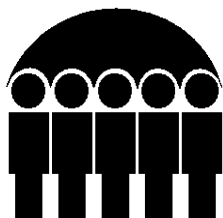


Revised August 19, 2003

Employees' Manual
Title 20
Chapter C

FORMS MANAGEMENT



Iowa
Department
of
Human Services

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OVERVIEW

“Forms management” means a comprehensive control program that provides standards for the creation, analysis, design, and procurement of forms within a state agency. The purpose of forms management is to ensure that forms are designed, produced, and distributed economically and efficiently. Forms management consists of three basic functions:

- ◆ Control
- ◆ Design
- ◆ Analysis

These are separate and distinct functions, but they are intertwined and interdependent. An effective forms management program requires all three parts.

The Department endorses the following objectives for an agency forms management program, as adopted by the State Records Commission:

- ◆ Control the design, issuance, and use of forms.
- ◆ Eliminate unnecessary forms and unnecessary items on forms.
- ◆ Consolidate forms serving similar purposes to prevent overlapping and duplication.
- ◆ Establish standards for uniformity and simplicity of forms.
- ◆ Improve the appearance and functional efficiency of forms.
- ◆ Analyze the cost of forms in relation to the value of the information provided.
- ◆ Determine appropriate forms reproduction, stocking, and distribution methods, including electronic forms and materials.

This chapter defines the forms management program and its organization in the Department of Human Services.

Legal Basis

The 70th General Assembly amended Iowa Code Sections 304.2, 304.6, 304.7, 304.14, and 304.18 to require the State Records Commission to establish a forms management program. The program must include:

- ◆ Procedures to assign state form numbers to forms that are seen and used by the public and maintain an index of these forms.

OVERVIEW

Legal Basis

Revised August 19, 2003

Iowa Department of Human Services

Title 20 General Management

Chapter C Forms Management

- ◆ Standards for the design and printing specifications for forms.
- ◆ Procedures for the process of approval for all form requests before the form is printed.
- ◆ Procedures for making the form available electronically.
- ◆ Procedures to promote the economical and efficient management of forms and to ensure that forms are neither created nor reproduced unnecessarily.
- ◆ Each state Department is required to appoint a forms manager and establish a forms management program to provide for effective control over the creation, analysis, design, central index identification, and procurement of all forms in the Department.

Form Defined

Legal reference: Iowa Code Section 304.2

For purposes of forms management, “form” means a document containing information printed or reproduced by whatever means, with blank areas for the entry of additional information. This includes temporary as well as permanent forms, forms purchased from commercial suppliers, and forms reproduced internally on office duplicating machines.

Some examples of forms are:

- | | |
|---------------------|---------------------|
| ◆ Loose sheets | ◆ Transmittal slips |
| ◆ Padded sheets | ◆ Cards |
| ◆ Sheets in sets | ◆ Tags |
| ◆ Snap-outs | ◆ Labels |
| ◆ Continuous forms | ◆ Envelopes |
| ◆ Form letters | ◆ Checks |
| ◆ Letterheads | ◆ Contracts |
| ◆ Interoffice memos | ◆ Agreements |

Pamphlets and brochures created in central office for use by the field are treated as forms for the purpose of monitoring their stocking and printing. Informational handouts created in the field are not considered as forms.

GENERAL FORMS MANAGEMENT PROCEDURES

The forms manager for the Department is located within the Policy Analysis Team. The forms manager is responsible for providing direction when:

- ◆ Developing department policy and procedures for form control.
- ◆ Designing and analyzing new and existing forms.
- ◆ Approving reprint requests of current central office forms.
- ◆ Assigning form numbers.
- ◆ Coordinating the revision of laser printed forms between agencies involved in that process.
- ◆ Ordering monthly delivery of laser printed Medical ID specialty paper.
- ◆ Maintaining and ordering Department envelopes.
- ◆ Approving new and revised forms.
- ◆ Notifying the forms storage unit to obsolete forms in inventory.
- ◆ Authorizing release of forms that are in an electronic format.

Forms coordinators are responsible for implementing forms management policy and procedures. This may include staff from institutions, service area offices, or child support offices.

Forms originators shall prepare new forms in accordance with policy and design standards and revise these forms as needed to meet program requirements.

Forms Used by the Public

Legal reference: Iowa Code Section 17A.3

State agencies must adopt administrative rules to include a description of all forms that are used by the public. A form is used by the public if it is:

- ◆ Filled out by or on behalf of a member of the public, or
- ◆ Signed by or on behalf of a member of the public, or
- ◆ Required by the Department to be in the possession of a member of the public.

Forms sent to the public, but not fitting the specifications for “used by the public” as outlined above, do not need to be cited in administrative rules.

For the purpose of determining when a Department form is used by the public, a “member of the public” shall mean any person, **except**:

- ◆ A Department employee acting in an official capacity.
- ◆ A resident in a Department institution. This does not include a guardian or conservator.

Examples of forms **used** by the public are all applications for benefits, licenses, registration certificates, authorizations for releases of information, questionnaires, and forms that require a client’s signature. These forms must be authorized through administrative rules and must be included in the Employees’ Manual.

These forms are assigned a “central office” form number. Central office form originators are responsible for ensuring that the descriptions of all forms used by the public appear in the Iowa Administrative Code governing the respective programs. For purposes of this policy, a description of a form is the name and form number.

Examples of forms **seen** by the public, but not **used** by the public include notices, form letters that do not have any spaces for the person getting the letter to complete and return information, the official receipt, and award certificates.

All forms **seen** by the public must be numbered and approved by the forms manager. Field offices may create forms seen by the public, but they do not have authority to create forms used by the public.

Service area offices and institutional form originators shall not generate forms to be used by the public. Staff who sees a need for such a form shall make a request to generate the form at the state level through the chain of command established by their office.

For example:

The chain of command in a local office is often from worker to supervisor, from supervisor to form coordinator in the service area, from form coordinator in the service area to the forms manager. The forms manager will share the request with central office policy staff and the Unit of Quality Control, if necessary. A decision will be made by the forms manager. The forms manager will notify all parties involved of the decision that was made.

Forms Retention

Legal reference: Iowa Code Section 304.9

Record or form retention is the minimum period of time required for preservation of the record. Length of retention may be based on statutory requirements, known federal and state audit requirements, or by mutual determination of the agency and the State Records Commission.

All forms that are retained by the agency shall either be a part of a record series in the ***RECORDS MANAGEMENT MANUAL*** or, if the retention period is different from the record series, the form shall be listed individually in the ***RECORDS MANAGEMENT MANUAL***.

A completed form becomes a record. A record series is a group of file units kept together because they relate to a specific function or a single form.

The State Records Commission publishes its procedures and the retention schedules for all record series in the ***RECORDS MANAGEMENT MANUAL***.

Form originators are responsible for determining the correct retention period for their forms and checking the ***RECORDS MANAGEMENT MANUAL*** to ensure that the form is part of a records series and that retention is correct in the manual.

Form Translations

The forms manager is responsible for securing translations of Departmental forms into other languages when required by program requirements or the form originator determines the form shall be translated into another language. Form originators shall furnish a copy of the material that needs to be translated to the forms manager. The Division initiating the form change, not the Policy Analysis Team, is responsible for paying for the translation.

If the form has not been translated in the past, the form originator should indicate that this is a new request. If the English version of a form has been revised, and changes need to be made to the existing translated form; the form originator should indicate that.

The forms manager will send the English version of the form to the translator, if there is not a translated version available. If the form is revised and there is a current translated version available, the forms manager will send copies of the English version with the revisions underlined to the translator. If the form has already been translated previously, a copy of the previous translation is also provided. The forms manager sends the changes to the translator either electronically or by mail. Usually this process can be completed in two-three weeks depending on the size of the document to be translated.

The translator will send the forms manager an electronic version of the translation. The forms manager will send the translated form to central office's word processing staff to revise the existing form or create a new form. Once central office's word processing is finished, the form is returned to the forms manager. The forms manager will notify the forms coordinator that the form has been translated. The forms coordinator then completes the appropriate paperwork to update the manual.

Form Files

The following form files are maintained by the Department forms manager.

♦ **Numerical File**

The numerical file is a historical work file for each form used by the Department. The numerical files for field office forms are retained for two years after the form is discontinued and then destroyed. The numerical files for central office forms are retained as permanent records.

Files for field office forms shall contain:

- A draft copy of the new or revised form.
- All form change requests for new, revised, or discontinued forms.
- Any correspondence relating to the form, including suggestions from users.

Central office form files shall contain:

- Two copies of the current form.
- One copy of each past revision.
- Form 470-0050, *Form Request and Specification*, on all new and revised forms, discontinued forms, reprint requests.
- Form 470-1908, *Form Reprint Approval and Notification*, if the form is currently printed or has previously been printed by Iowa Prison Industries in Anamosa. This will contain quantity of previous prints, date form was reprinted, and cost information.
- Any additional notes or e-mails that the forms manager determines is needed.

◆ Forms Register

The forms register maintains a record of all forms that have ever been used by the Department. The register shall contain:

- Both the current and the obsolete form number.
- The initial date of the form and any revision dates.
- The name of the form.
- The manual reference for the form, if any, or the cost center of the form.
- The date and manner of obsoleting the form, i.e., general letter, user, etc.
- Where the form is available, if available electronically.

◆ Central File Index

The central file index is a database program containing all of the Department's forms. The forms manager is responsible for updating the program for the entire Department, not just central office forms.

APPROVAL OF NEW OR REVISED FORMS

All requests for new or revised forms shall be submitted to the Department forms manager for approval. The form manager will consult with central office policy staff and the Unit of Quality Control on creating new forms or making changes to existing ones.

Approval of Central Office Forms

Central office staff initiating a new form, revising an existing form, or discontinuing an obsolete form shall complete an electronic form 470-0050, *Form Request and Specification*. The form may be sent to the forms manager electronically via e-mail.

If creating a new form, e-mail an electronic draft copy of the new form along with form 470-0050, *Form Request and Specification*, to the forms manager. The forms manager will:

- ◆ Review the request to ensure no forms serving a similar purpose exist.
- ◆ Assign a form number.
- ◆ Enter information regarding the new form into the central file index and the forms register.
- ◆ Review form for grammatical/spelling errors.
- ◆ Ensure form meets standards specified in Comm. 203, *Forms Analysis and Design Handbook*.
- ◆ Forward the form to the central office's word processing staff.

When central office's word processing staff has completed work on the form, the forms manager will share the form with the form originator to ensure the form is what was requested.

If the form originator reviews the form and has no additional changes, the forms manager will finalize form 470-0050 and send a copy back to the form originator for their records. The form originator is responsible for making changes to the appropriate Employee's Manual to notify staff of when to use the new form.

If the form will be available in a printed format, the forms manager completes all the necessary paperwork to have the form printed and stocked by Iowa Prison Industries at Anamosa. If the form is only available electronically, the forms manager will determine when the form may be released on Outlook and coordinate that request with the release of the Employee's Manual.

If the form originator is revising an existing form, complete form 470-0050, *Form Request and Specification*, electronically or print it off and complete the form by hand. Send the form to the forms manager. Also, the form originator shall make the necessary changes to revise the form in red ink. Give the changes to the forms manager.

The forms manager will review the form to make sure it meets the standards specified in Comm. 203, *Forms Analysis and Design Handbook*.

The forms manager will take the revised form to the central office's word processing staff. When Word Processing has finished the changes, the forms manager will share the revised version with the form originator to ensure there were no changes that were missed.

If the form originator approves the revisions, the forms manager will finalize form 470-0050 and send a copy back to the form originator for their records. The form originator is responsible for making the necessary changes to the manual.

If the form is available in printed format, the forms manager will determine if the form needs to be reprinted at the present time or not. If not, the form will get filed in the numerical file for future use.

The forms manager completes all the necessary paperwork to have the form printed and stocked by Iowa Prison Industries at Anamosa. If the form is only available electronically, the forms manager will determine when the form may be released on Outlook and coordinate that request with the release of the Employee's Manual.

Templates and Laser Printed Forms

All form templates or forms generated from the laser printer in the Information Technology Enterprise (ITE) are sent to the Policy Analysis Team for numbering, review, approval, and processing for both new and revised forms.

Anyone initiating a new or revised form template or electronic form generated from the laser printer in ITE shall complete an electronic form 470-0050, *Form Request and Specification*, which is a template on Outlook. E-mail the form to the forms manager by clicking on the "send button". The forms manager will provide the Policy Analysis Team with a copy of the new form or a copy marked with changes if it is revised.

APPROVAL OF NEW OR REVISED FORMS

Approval of Central Office Forms

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The Policy Analysis Team will fill out form 470-3938, *Elixer Forms Conversion/Reversion*, attach a copy of the new or revised form and take to the printing coordinator in the Bureau of Support Services.

All forms generated from the ITE laser printer are numbered with an “H” for a production file or a “T” for a test file of the form and the last four digits of the form number (T1981). When the form has been tested and approved the “T” is changed to an “H” and is moved into the production file (H1981). If there is more than one page, a letter is added to each page behind the form number (H1981a, H1981b for two pages.)

A six-digit form number is all that is allowed in a laser-printed form. The Policy Analysis Team will keep a photocopy of the form and the *Elixer Forms Conversion/Revision* form and file in the Elixer form folder.

The printing coordinator will prepare a requisition to send along with the form to the Department of Administrative Services - Printing Division. A typesetter in the Department of Administrative Services - Printing Division will enter the form into an Elixer software program. The typesetter will send the form by server to the ITE computer room.

A programmer in ITE will load the form to the laser printer and print off a copy of the form. The ITE programmer will contact the Policy Analysis Team when the form is printed and ready to pick up.

The Policy Analysis Team and the form originator review the form for errors. Changes are sent back to the typesetter, then to ITE to load on printer, etc. When the job is completed, the typesetting and printing will be billed to the program using the form.

The form originator is responsible for initiating a service request on laser-generated forms. All changes to DHS forms generated from the ITE laser printer require a service request.

Typesetting

If a new form needs to be created or an existing form that needs to be revised, the request must go through the forms manager. No central office forms are typeset without the approval of the forms manager.

The originator will submit an electronic final draft of the form with an electronic copy of form 470-0050, *Form Request and Specifications*, to the forms manager. The forms manager will determine if the form needs to be typeset. If so, the forms manager will indicate that on form 470-0050.

The forms manager e-mails a copy of form 470-0050 to the printing coordinator in the Bureau of Support Services. The forms manager will provide the printing coordinator with a draft copy of the form with changes indicated in red ink. The printing coordinator will prepare a typesetting requisition and attach the draft copy of the form to the requisition.

The printing coordinator submits the request to the Department of Administrative Services - Printing Division or Iowa Prison Industries at Mitchellville, depending on the type of form.

The typeset form is returned to the forms manager. If the forms manager has additional changes, the form is returned to either the Department of Administrative Services - Printing Division or Iowa Prison Industries at Mitchellville. The form continues to be returned to the forms manager until the form originator and the forms manager have approved the form.

Once the form is approved, the forms manager determines if the form should be printed or if it should be placed in a holding file for a future printing. The forms manager completes all necessary paperwork to have the form printed and stocked by Iowa Prison Industries at Anamosa.

Informational Materials

For new and revised reference materials, send an electronic form 470-0050, *Form Request and Specification*, to the forms manager. Take a draft copy or send an electronic draft copy of the new material to the forms manager.

When central office's word processing staff has completed work on the form, the forms manager will share the form with you to ensure the form is what you requested.

If you approve the form, the forms manager will finalize form 470-0050 and send a copy back to your for your records. You are responsible for making changes to the appropriate Employee's Manual to notify staff of when to use the new form.

If the form will be available in a printed format, the forms manager completes all the necessary paperwork to have the form printed and stocked by Iowa Prison Industries

at Anamosa. If the form is only available electronically, the forms manager will determine when the form may be released on Outlook and coordinate that request with the release of the Employee's Manual.

Clearance of Central Office Forms

All new and revised forms originated in central office for use by the field or institutions are circulated to the field or institutions and appropriate central office divisions for suggestions and comments before release.

Form originators are expected to circulate new and revised forms to appropriate client and public groups for review and comment.

All data processing documents shall be circulated to the appropriate bureau in the Division of Data Management for suggestions and comments before release.

Circulation for all new and revised forms included in the manual will need to go through the manual approval process outlined in 1-B-Appendix. This addresses only circulation to the field. The form originator must obtain other comments independently.

Circulation to users of new and revised forms included in the manual shall be waived in emergency situations by joint approval of the administrator of the division originating the form and administrator of the division using the form.

Approval of Forms for Field Offices

Creating a new form that will be used by the public on a **statewide basis** must be directed to the forms manager through the designated forms coordinator in the respective service areas. The forms manager must also be notified of revisions made to existing forms or if a form is being discontinued. This is only when the form is used by the public on a statewide basis. Requests for forms seen by the public on a statewide basis must be directed to the forms manager through the designated forms coordinator in the service area.

Field Recommendation for a Form Revision or New Form

All new, revised, and discontinued form recommendations from local or service area offices are provided to the respective forms coordinator in each service area. The designated forms coordinator is the key contact person and will coordinate requests

with their colleagues, which includes other service area staff and the service area managers across the state.

When service area forms coordinators provide information or responses to central office through this process, it is their responsibility to be sure that the response reflects the view or experience of the majority of field staff, rather than just their own service area.

The service area forms coordinator reviews the form recommendation and, if appropriate, either:

- ◆ Forwards the recommendation to the designated counterpart responsible for the specific program for which the form applies, or
- ◆ If the form is generic to all programs, the forms coordinator personally handles the recommendation.

The forms coordinator for the service area of the form origin is responsible for:

- ◆ Securing consensus from the other service area forms coordinators to the recommendation. The purpose, volume of use, appropriateness of the form, and customer friendliness should be examined when determining the recommendation.
- ◆ Securing consensus from the other service area forms coordinators if the form is generated from the Change Reporting System (CRS). The CRS Maintenance Committee will make the final determination on whether to proceed with the recommendation from the service area form coordinators.
- ◆ Providing an actual draft of the new or revised form to the forms manager. Send an e-mail that includes the electronic form 470-2542, *Form for Field Offices and Institutions*, with an electronic copy of the draft form attached.

The forms manager forwards the form to the bureau or division responsible for the program that the form applies to.

The bureau or division will contact Quality Control, for forms used by the food stamp program, to ensure that a change will not have a negative impact on error rates.

If the form is a Quality Control form, Quality Control will determine whether the revised form meets their needs. If it does not, Quality Control will forward comments to the appropriate service area forms coordinator, who will determine whether a separate form needs to be developed for field use. (If so, the service area forms coordinator will follow the field recommendation instructions.)

The bureau or division will work with the designated service area forms coordinator and the Change Reporting System Maintenance Committee to make a final decision on whether to proceed with the recommendation, final design, and content of the form.

The forms manager is notified of the decision. If field and policy staff disagree and can't come to a consensus, the forms manager will be the final decision-making authority.

Approval of Forms for Institutions

All new, revised, and discontinued forms from institutions must be directed to the forms manager through the respective institutions.

Form originators initiating a new, revised or discontinued form will complete the electronic form 470-2542, *Form Request for Field Offices and Institutions*. If the form is not seen by the public, the form does not need to go through the forms management process.

The form originator must submit the draft form electronically with the electronic form 470-2542, *Form Request for Field Offices and Institutions*, to the respective institution to review. The forms coordinator will transmit the electronic copies to the Department's forms manager for review and approval.

The forms manager shall review the request to ensure that no forms showing a similar purpose exist and the forms will not be used by the public. The forms manager may make comments or suggestions regarding the form. If approved, the forms manager inputs the form data into the central file index and returns the approved electronic request to the forms manager by e-mail.

Appeal Process

Decisions of the forms manager may be appealed to the Policy Analysis Team Leader. If dissatisfaction still exists, decisions may be appealed to the Director or their designee. Request an appeal by sending a memo to the Policy Analysis Team Leader.

FORM STANDARDS

The following form standards shall be used unless approval is received from the forms manager:

- ◆ Form size:
 - General: 8 ½" x 11", 8 ½" x 5 ½", 7 ½" x 3 ¼"
 - Business card: 3 ½" x 2", 3 5/8" x 2 ½"
- ◆ Inserts: Self-mailers: 6 ½" x 3 ¼" and 6 ½" x 9 ½"
 - Warrants: 7 ½" x 3 ¼"
- ◆ Paper weight and grade:
 - General: 20# and 24# Recycled
 - Business card: 90# or 110# Index
 - Inserts: 20# Recycled Bond
- ◆ Paper color:
 - General: white
 - NCR:
 - 2-part (white/yellow)
 - 3-part (white/yellow/pink)
- ◆ Ink color:
 - General: black
 - Letterheads: black

In addition to these standards, review Comm. 203, *Forms Analysis and the Design Handbook*. Comm. 203 provides recommended standards for good form design and analysis.

Numbering of Forms

The Department's forms manager will assign a central file number to forms originating in the Department and enter the forms in the central file index. Internal office forms **not seen or used by the public** are not required to go through forms management for review and numbering.

There are some instances where internal office forms will require a form number. The criteria to determine if an internal office form is to be numbered is:

- ◆ A form seen or used by the public.
- ◆ A form that will be printed.
- ◆ An electronic form on a personal computer that is used statewide.
- ◆ A form in the Department's e-mail system for statewide use.

The central office file number consists of seven digits. The first three identify the location of the form originator, i.e. Department, institution, or field office.

The three-digit prefixes are assigned by the State Archivist in the Department of Cultural Affairs, Historical Department. The following list is used to identify forms for each location:

470	Central Office	874	Des Moines Service Area
471	Cherokee Mental Health Institute	875	Davenport Service Area
472	Independence Mental Health Institute	876	Council Bluffs Service Area
473	Clarinda Mental Health Institute	877	Sioux City Service Area
474	Mt. Pleasant Mental Health Institute	879	Waterloo Service Area
476	Glenwood Resource Center	880	Cedar Rapids Service Area
477	Woodward Resource Center	883	Ames Service Area
872	Eldora Training School	884	Dubuque Service Area
873	Toledo Juvenile Home		

The remaining four digits are sequential numbers that identify each form for the respective unit.

Forms seen by the public will be printed or reproduced with the central file number assigned by the Department's form manager unless an exception is granted. Other agencies' forms used by the Department are printed with the originating agencies' central file number.

The Department's letterhead and preprinted forms purchased from supplies are the two exceptions granted by the State Records Commission. These forms are assigned central file numbers, but the numbers are not printed on the forms.

Only forms used or seen by the public will be printed with the central file number along with the date the form is initiated. Existing forms shall be printed with the central file number along with the date the form is revised. (i.e., 470-xxxx (Rev. 2/03))

If existing forms are listed in the Department rules or manual, the old form number will be dropped and the 470-xxxx number will be used when changes are made in the chapter. As forms come up for reprint at Iowa Prison Industries in Anamosa, forms will be revised to remove the old form number and add the 470-xxxx assigned by the forms manager. Forms stocked at Iowa Prison Industries in Anamosa shall be identified and ordered by the 470-xxxx number until the form is obsolete.

Special Numbers for Reference Material

All pamphlets, brochures, and reference materials for statewide use are numbered. Special numbers are assigned to facilitate printing and ordering of reference materials, pamphlets and brochures. These numbers consist of a two, three, or four-letter prefix and a sequential number.

Current materials under this classification are:

- ◆ Pamphlets and brochures (Comm.)
- ◆ Day care consultant's material (DC)
- ◆ Reference cards (RC)

If forms are developed by a unit or bureau in central office for use within the unit or bureau, it is recommended that the forms and instructions for their use be located in the State Handbook of Procedure. The forms manager has a copy of the State Handbook of Procedure.

If forms are unique to an institution or field office and are not used by the public, it is recommended that the forms and instructions for their use be located in a desk manual or standard office procedures.

Desk manuals should be written to cover administrative procedures employed by the field offices and institutions in much the same manner as the State Handbook of Procedure is to cover procedures employed by central office staff.

Statement on Nondiscrimination

Legal reference: Title VI of the Civil Rights Act of 1964, as amended

Application and review forms, contracts, notices, pamphlets or brochures, and various other forms used by or sent to the public must include a statement on nondiscrimination.

This nondiscrimination statement will be approved by the Department's Diversity Programs Unit. The forms manager will be responsible for securing this statement.

If any question exists as to whether a statement on nondiscrimination is needed, clearance is obtained from the Diversity Programs Unit.

Approval of the statement used is secured from the Diversity Programs Unit at the time of the form's origin and revision.

It is not possible to require a standard statement on all forms, due to variances in the types and purposes of the forms and in program regulations.

Notice to Suppliers of Information

Legal reference: 45 CFR 164.520, Iowa Code Section 22.11, 441 9.8(17A.22) and 9.14(4)

When the Department advises a person that their information will be shared with another agency or organization, the Department shall notify the person:

- ◆ How the information will be used.
- ◆ When authorized agencies or people may be provided this information on a routine basis.
- ◆ Which parts of the requested information are required and which are optional.
- ◆ Of the consequences of failing to provide the information requested.
- ◆ Of the person's right to view their case record, when applicable.

In addition, for protected health information covered by the Health Insurance Portability and Accountability Act of 1996 (HIPAA), the Department shall provide a notice of privacy practices in accordance with federal requirements.

This policy is a requirement of the Iowa Fair Information Practices Act. The Act preserves the rights of the public to know how state agencies use the information they have about members of the public. This requirement applies to field office forms and central office forms.

This notice may be given on the form used to collect the information, on a separate sheet or letter, or in brochures. When information is requested from agencies (instead of clients), this information may be included in the contract, formal agreement, handbooks or manuals, or in the program rules.

Forms used to request information from members of the public shall contain a notice meeting these requirements, unless the notice is given in some other way.

PRINTING AND DISTRIBUTION OF FORMS

Forms for Field Office and Institutions

Each forms coordinator shall be responsible for ensuring that changes recommended by the forms manager on the draft forms are made and that the forms are printed or copied with the central file number and revision date. Forms coordinators may wish to maintain form samples in their areas.

It is not necessary to obtain approval to reprint an existing form that is current and does not need revision.

Before printing a new or revised form, type the central file number in the bottom left-hand corner of the form along with the month and year the form was initiated or revised in parenthesis. (i.e., 470-xxxx (Rev. 2/03))

Central Office Forms

No central office form shall be printed or reproduced without the approval of the forms manager.

Central office form originators shall prepare the electronic form 470-0050, *Form Request and Specifications*, and e-mail it to the forms manager. Procedures for ordering and reprinting a form without revisions differs depending on whether the form is printed and stocked by Iowa Prison Industries in Anamosa. Only forms used in the service area and local offices are printed and stocked at Anamosa.

Depending on the size and complexity of the job, form originators should allow at least two weeks after the approval process for forms to be printed. If the form must be let out for bid, the originator should allow at least two months. Forms that require typesetting changes take an additional two to four weeks. When in doubt, the form originator should discuss the situation with the forms manager.

Forms originators should allow at least one week after the approval process for forms to be placed in Outlook. Whenever possible, the effective date of new or revised forms shall be timed to coincide with the depletion of the current stock of the forms that the new forms are replacing. For forms stocked by Iowa Prison Industries, the form originator should check with the forms manager to determine the current stock of the form.

If it is not possible for the release date of the new form to coincide with the depletion of stock, the form originator must decide whether to continue to use the forms that have been replaced (if the revision is minor) or to destroy the current stock.

The form originator is responsible for telling the forms manager if the current stock will be used or destroyed.

If the decision is made to destroy the current stock, the cost of the destroyed stock is billed to the form originator's cost center. The forms manager will complete form 470-1908, *Form Reprint Approval and Notification*, indicate that the form should be obsolete, and e-mail it to Iowa Prison Industries at Anamosa.

The following month, Iowa Prison Industries will send the forms manager a billing statement. The billing statement will contain the cost of destroying the form. The forms manager will code the billing statement with the appropriate cost center and take it to the Bureau of Support Services.

If the form will only be made available, electronically, the form originator shall prepare the electronic form 470-0050, *Form Request and Specifications*, and e-mail it to the forms manager. The forms manager will coordinate and authorize the release of the electronic form.

Forms Printed by Iowa Prison Industries at Anamosa

Once a new form has been finalized or a revised form has been updated, the forms manager will determine if the form should be made available to the local offices and outside vendors in a printed format.

If the forms manager decides the form should be printed, the form manager decides if the form should be stocked at Iowa Prison Industries at Anamosa.

The forms manager will prepare form 470-1632, *Requisition for Iowa State Industries Printing*. The forms manager will indicate on the form the quantity of the job and how the job should be printed.

The forms manager will send a copy of form 470-1632 to Iowa Prison Industries to inform them how to print the form and how to distribute it. A copy of the new or revised form will be included and sent along with a copy of form 470-1632 by regular mail.

On a monthly basis, Iowa Prison Industries notifies the forms manager when forms reach the “minimum quantity” level. “Minimum quantity” is a number set by the forms manager that reflects a two-month supply of the form is left in inventory. This notifies the forms manager that the form needs to be reprinted.

The forms manager reviews each form file to determine if the form really needs to be reprinted. An average of at least the past six months is taken to get an accurate reflection of which forms are being used and to determine if the form should continue to be printed.

The forms manager determines if the form is already available in another format, such as a template in the state approved forms folder in Outlook. If not currently available, the forms manager reviews each individual form when it comes up for reprint to determine if it would make an appropriate template or not.

For each form that is up for reprint, the form manager will complete one form 470-1908, *Form Reprint Approval and Notification*, and e-mail it to the form originator. The form manager will include the following in the e-mail:

- ◆ Copy of form 470-1908 partially completed by the forms manager.
- ◆ Date the form was last reprinted.
- ◆ Quantity of how many was printed.
- ◆ Cost of the last printing.
- ◆ If form is available as template.
- ◆ Explanation if forms manager feels form would make a good template.
- ◆ Request to justify printing, if form originator wants to reprint.
- ◆ Any additional information the forms manager feels is appropriate for the form originator to know.

The form originator should determine if the form should be reprinted. The form originator may need to coordinate with other policy staff if the form affects their program as well, or with the field.

If a form originator needs to coordinate with the field, the form originator will need to contact the designated forms coordinator for the respective program.

The service area forms coordinator will coordinate with their counterparts at the service area level and make a determination on whether the form should continue to be printed or the form could be made available electronically in the form of a template. The original field contact then e-mails the field's response to the form originator.

The form originator makes a determination on whether the form should be reprinted or not. Form 470-1908, *Form Reprint Approval and Notification*, is signed and dated and e-mailed back to the forms manager. The form originator indicates if revisions are expected to the form within the next year.

If no revisions are needed, the forms manager fills in the amount to print and determine the "minimum quantity" amount, sign and date the form and send it electronically to Iowa Prison Industries at Anamosa.

If revisions need to be made, the forms originator brings the form with the revisions marked in red-ink to the forms manager. The forms manager will discuss the changes with the form originator and proceed with getting the form revised.

The forms manager completes form 470-0051, *Word Processing Request*, and attaches a copy of the changes to the request. When central office's word processing staff has completed work on the form, the forms manager will share the form with the form originator to ensure the form is what they requested.

If the form originator approves the form, the forms manager will complete form 470-1623, *Requisition for Iowa State Industries Printing*. The revised form will be printed and stocked at Anamosa. If the form is only available electronically, the forms manager will determine when the form may be released on Outlook and coordinate that request with the release of the Employee's Manual.

The form originator is responsible for making changes to the appropriate Employee's Manual to notify staff of when to use the new form.

Note: The cost of forms is billed to the user who orders the forms. The cost of destroying forms currently in stock is billed to the bureau or division originating the form or causing the form to be printed. The forms manager is responsible for notifying Iowa Prison Industries to obsolete a form.

Forms Not Printed by Iowa Prison Industries at Anamosa

There are items, such as forms, envelopes, brochures, posters, etc., printed that Iowa Prison Industries at Anamosa does not print and stock for the Department. These items must still go through the same approval process with the forms manager, however, a different vendor will print them.

The forms manager decides if an item will be printed at Anamosa or not. If not, the forms manager completes form 470-0050, *Form Request and Specifications*, and e-mails it to the Bureau of Support Services. The forms manager saves a copy of form 470-0050 on his or her own computer.

If the item to be printed is electronic, an electronic copy is e-mailed to the Bureau of Support Services along with form 470-0050. If it is not electronic, the forms manager takes a sample item to the Bureau of Support Services, if one is available.

The Bureau of Support Services prepares the printing requisition and determines who will print the job. The forms manager determines the job specifications.

Once the job has been completed, the vendor bills the Department for the job. The bills are given to the Bureau of Support Services. The printing coordinator enters the information on a spreadsheet that the forms manager has access to.

On a monthly basis, the forms manager checks the spreadsheet to determine if any costs have come in for previous print jobs. If so, the information is transferred from the spreadsheet onto the appropriate form 470-0050, *Form Request and Specifications*. The forms manager prints off the form and files it in the file.

Blanket Mailings

When a new form is printed at Anamosa, or a form is to be destroyed and replaced by a revised form at Anamosa, the forms manager will complete form 470-2543, *Blanket Mailing*, and forward to Anamosa along with the printing requisition.

The following size breakdown for distribution will be used for the county categories on the 470-0050 and for completing the *Blanket Mailing*, form 470-2543:

Very Large	Large	Medium	Small
Polk	Black Hawk	Cerro Gordo	All others
	Dubuque	Clinton	
	Linn	Des Moines	
	Pottawattamie	Lee	
	Scott	Wapello	
	Woodbury	Webster	

Electronic forms will not be sent out in a blanket mailing. They will be placed into the Department's e-mail system, if applicable.

Notice of Informational Materials

Circular letters shall be prepared to transmit all informational material that is developed by the central office form originators and is available for distribution. This includes mailing inserts, posters, brochures, booklets, pamphlets, etc.

This policy is intended to ensure that outdated informational material is obsoleted and that the users are aware of what informational material can be ordered.

The circular letters shall be prepared by the unit or bureau responsible for development of the material.

A form originator will discontinue obsolete reference material by preparing a circular letter and sending it to the manual editor.

The forms manager is responsible for insuring that copies of the informational material is delivered to central office to be included with the circular letter.

DISCONTINUED FORMS

All form originators shall notify the forms manager of intent to discontinue use of a form.

Central office form originators complete the electronic form 470-0050, *Form Request and Specifications*, and e-mail to the Department's forms manager when a decision is made to obsolete a form.

Form originators shall complete the electronic form 470-2542, *Request for Field Offices and Institutions*, which is a template on Outlook, and forward to the forms coordinator in their respective service areas. The forms coordinator will forward on to the forms manager for approval. The forms manager will approve and return the electronic *Form Request for Field Offices and Institutions* to the form coordinator.



STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

August 19, 2003

GENERAL LETTER NO. 20-C-4

ISSUED BY: Appeals Section

SUBJECT: Employees' Manual, Title 20, Chapter C, **FORMS MANAGEMENT**, Title page, revised; Contents (page 1), revised; pages 1 through 24, revised; and page 25, new.

Summary

This chapter is revised to:

- ◆ Reflect the current policy, procedure, and format.
- ◆ Rearrange the manual so the process of creating, drafting, finalizing, and printing of a form is addressed in the correct sequence.
- ◆ Add a procedure that when a form is to be revised, staff should make the appropriate changes in red ink and take them to the forms manager. The forms manager will coordinate requests with the word processing unit.
- ◆ Expand the section on revising laser-printed forms to include the process completed by the Information Technology Enterprise (ITE) staff.
- ◆ Update the procedures for forms approval for field offices to reflect that all forms used by the public on a statewide basis or forms seen by the public must go through the designated staff person in the service area office.
- ◆ Update form standards to reflect current policy and procedures.

Effective Date

Upon receipt.

Material Superseded

Remove the following pages from Employees' Manual, Title 20, Chapter C, and destroy them:

<u>Page</u>	<u>Date</u>
Title Page	May 21, 1985
Contents (page 1)	April 4, 1989
1-15	April 4, 1989
16, 17	February 19, 1991
18-24	April 4, 1989

Additional Information

Refer questions about this general letter to your area income maintenance supervisor 2, service area manager, or regional collections administrator.